

Docket No: AM10110  
Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re of Application of: Ronald Charles Bernotas et al.  
Application No.: 10/621,432 Group Art No.: 1614  
Filed: July 17, 2003 Examiner:  
For: 1-HETEROCYCLYLALKYL-3-SULFONYLAZAINDOLE OR  
-AZAINDAZOLE DERIVATIVES AS 5-HYDROXYTRYPTAMINE-6  
LIGANDS  
Confirmation No.: 1732  
Customer Number: 25291

Commissioner for Patents  
Washington, DC 20231

REQUEST FOR CORRECTED FILING RECEIPT

Sir:

1. Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.
2. There is an error with respect to the following data which is:  
☒ omitted

**CERTIFICATE OF FACSIMILE 37 CFR §1.8**

I hereby certify that this paper and the documents referred to as enclosed therein are being transmitted by facsimile to the Commissioner for Patents, OIPE Filing Receipt Corrections, 703-746-9195 on the date written below.

November 4, 2003  
Date

Carole K. Kamrad  
Carole K. Kamrad

Docket No: AM10110  
Patent


**ERROR IN**

1. ☐ Applicant's Name
2. ☐ Applicant's Address
3. ☐ Title
4. ☐ Filing Date
5. ☐ Serial Number
6. ☐ Foreign/PCT Appln. Re
7. ☒ Other – Missing Customer Number

**CORRECT DATA**

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
7. Customer Number 25291

3. A. ☒ The correction(s) is/are not due to any error by applicant and no fee is due.

  
Barbara L. Lences  
Agent for Applicants  
Reg. No. 41,148

Wyeth  
Patent Law Department  
Five Giralda Farms  
Madison, NJ 07940  
Tel. No. (732) 274-4678

**NOTE:** Recently Wyeth has received a significant number of filing receipts for patent applications where our customer number and our customer number address information is not being applied while it has been requested in the transmittal letter.

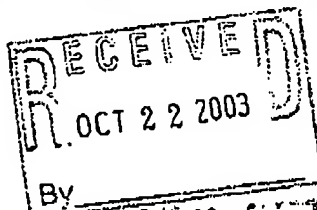


## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/621,432	07/17/2003	1614	834	AM101110		20	4

Barbara L. Lences  
Wyeth  
Five Giralda Farms  
Madison, NJ 07940-0874



CONFIRMATION NO. 1732

## FILING RECEIPT



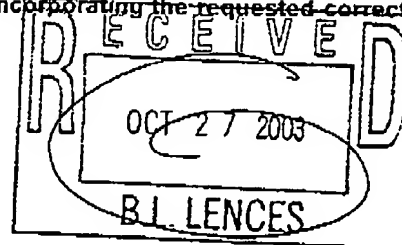
\*OC000000011060886\*

Date Mailed: 10/20/2003

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Ronald Charles Bernotas, Bridgewater, NJ;  
Steven Edward Lenicek, Plainsboro, NJ;  
Hassan Mahmoud Elokda, Yardley, PA;  
David Zenan Li, Princeton, NJ;



## Assignment For Published Patent Application

Wyeth, Madison, NJ;

## Domestic Priority data as claimed by applicant

This appln claims benefit of 60/396,949 07/18/2002

## Foreign Applications

If Required, Foreign Filing License Granted: 10/17/2003

Projected Publication Date: 01/29/2004

Non-Publication Request: No

Early Publication Request: No

Title

1-Heterocyclalkyl-3-sulfonylazaindol or -azaindazole derivatives as 5-hydroxytryptamine-6 ligands

Preliminary Class

514

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

Docket No: AM101110  
Patent

Mail Stop Patent Application  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

NEW APPLICATION FOR TRANSMITTAL

Transmitted herewith for filing is the patent application of the following Inventor(s):  
Ronald Charles BERNOTAS, Steven Edward LENICEK, Hassan Mahmoud ELOKDAH, and  
David Zenan LI ;  
For: **1-HETEROCYCLYLALKYL-3-SULFONYLAZAINDOLE OR -AZAINDAZOLE  
DERIVATIVES AS 5-HYDROXYTRYPTAMINE-6 LIGANDS.**

1. Papers enclosed which are required for a filing date under 35 CFR 1.53(b):

- ☒ Pages of specification – 33 pages
- ☐ Sequence Listing – pages on:
  - ☐ CD Rom or CD-R (2 copies); or
  - ☐ paper
- ☒ Pages of claims – 13 pages
- ☒ Page(s) of abstract – 1 pages
- ☐ Sheets of drawing – pages
  - ☐ Formal
  - ☐ Informal

2. Additional papers enclosed

- ☒ Information Disclosure Statement
- ☒ Form PTO-1449
- ☒ Citations
- ☐ Declaration of Biological Deposit
- ☐ Computer Readable Form of Sequence Listing
- ☐ Declaration Under 37 CFR 1.821(f)
- ☒ Application Data Sheet
- ☐ Other:

3. Declaration

- ☒ Enclosed and executed by all inventor(s)
- ☐ Not enclosed or not executed by all inventor(s)

**CERTIFICATE OF MAILING 37 CFR §1.10**

I hereby certify that this paper and the documents referred to as enclosed therein are being deposited with the United States Postal Service on the date written below in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EV100601440US addressed to the Mail Stop Patent Application, Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.

July 17, 2003  
Date

Carole K. Kamrad  
Carole K. Kamrad

Docket No: AM101110  
Patent

4. Assignment  
An assignment of the invention to:

Wyeth  
Five Giralda Farms  
Madison, NJ 07940

- ☐ was made in the prior application and recorded in PTO on , Reel ,  
Frame  
☒ is attached under separate Recordation Form Cover Sheet.  
☐ will follow.

5. Filing Fee Calculation

CLAIMS FEE				
(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA x RATE		(4) BASIC FEE
				\$750.00
TOTAL CLAIMS	20	0	x \$ 18.00	0.00
INDEPENDENT CLAIMS	4	1	x \$ 84.00	84.00
MULTIPLE DEPENDENCY FEE			\$ 280.00	
Total Filing Fee:				\$834.00

6. Method of Payment of Fees:  
Charge Deposit Account No. 01-1425 in the amount of \$834.00.  
A duplicate of this transmittal is attached.
7. Instructions as to Overpayment:  
Credit any overpayment to Deposit Account No. 01-1425.
8. General Authorization:  
During the pendency of this application treat any reply requiring a petition for extension of time for its timely submission as containing a request therefor for the appropriate length of time. The Commissioner is hereby authorized to charge all required extension of time fees during the entire pendency of this application to Deposit Account No. 01-1425.

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Patent

9. Authorization to Charge Additional Fees

- ☒ The Commissioner is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Deposit Account No. 01-1425
- ☒ 37 CFR 1.16(a), (f), or (g) filing fees
- ☒ 37 CFR 1.16(b), (c), and (d) presentation of extra claims
- ☒ 37 CFR 1.16(e) surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application.
- ☒ 37 CFR 1.17 application processing fees

10. Relate back (35 USC 119(e))

- ☐ Amend the Specification by inserting before the first line the sentence:

—This application claims priority from copending provisional application(s)  
application number 60/ filed on .—

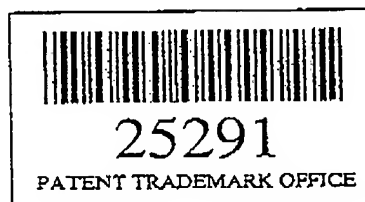
11. REQUEST AND CERTIFICATION UNDER 35 U.S.C 122(b)(2)(B)(i) <input type="checkbox"/> A request not to publish this application and certification under 35 U.S.C. 122(b)(2)(B)(i) is attached.
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12. Correspondence Address and Telephone Number

SEND CORRESPONDENCE TO:

Customer Number: 25291

Bar Code:

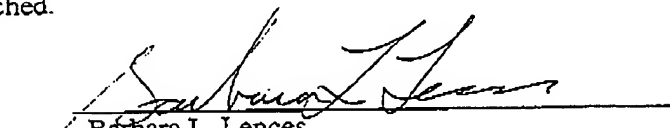


DIRECT ALL TELEPHONE CALLS TO:

Name: Barbara L. Lences

Tel. No. (732) 274-4678

13. ☒ Return Receipt Postcard is attached.

  
Barbara L. Lences  
Agent for Applicants  
Reg. No. 41,148

Wyeth  
Patent Law Department  
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Madison, NJ 07940  
Tel. No. (732) 274-4678

5 Giralda Farms  
Madison, NJ 07940-0874

JOHNSON 04 NOV 2003

**Wyeth**

**F A C S I M I L E**

Date: November 4, 2003

Number of pages (including cover): 8

To: Commissioner for Patents  
OIPE Filing Receipt Corrections

From: Barbara L. Lences

Telephone:

Department: Patent Law

Fax: 703-746-9195

Telephone: (732) 274-4843

cc:

Fax: (973) 660-7973

☐ Urgent

☐ For your review

☐ Please reply asap

☐ Please comment

**Remarks:**

Case No: AM101110

Application No.:	10/621,432	Group Art No.:	1614
Filed:	July 17, 2003	Examiner:	
For:	1-HETEROCYCLYLALKYL-3-SULFONYLAZAINDOLE OR -AZAINDAZOLE DERIVATIVES AS 5-HYDROXYTRYPTAMINE-6 LIGANDS		

**Following are:**

Request for Corrected Filing Receipt  
Copy of the Official Filing Receipt  
Copy of our Original Transmittal Letter

This transmission is intended for the addressee only and may be attorney-client privileged and/or contain information that is confidential and/or proprietary to Wyeth. If you are not the intended recipient, you are hereby notified that any dissemination, distribution, copying or use of the information contained in this facsimile is unauthorized and strictly prohibited. If you have received this facsimile in error, please notify this office immediately by telephone call to the sender above so we can arrange for the destruction or return of the document to Wyeth at no cost to you. Thank you.